



DOCKET NO.: E0295.70155US00

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Steven M. Blumenau et al.
Serial No.: 09/748,053
Confirmation No.: 4482
Filed: December 22, 2000
For: METHOD AND APPARATUS FOR PREVENTING UNAUTHORIZED
ACCESS BY A NETWORK DEVICE
Examiner: Ho, Thomas M.
Art Unit: 2134

CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)

The undersigned hereby certifies that this document is being placed in the United States mail with first-class postage attached, addressed to MAIL STOP AMENDMENT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on the 13th day of March, 2007.

Patricia L. Marchetti

Patricia L. Marchetti

MAIL STOP AMENDMENT

Commissioner For Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Transmitted herewith are the following documents:

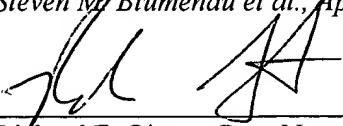
- Information Disclosure Statement, Form PTO-1449 and References Cited
- Return Receipt Postcard

If the enclosed papers are considered incomplete, the Mail Room and/or the Application Branch is respectfully requested to contact the undersigned at (617) 646-8000, Boston, Massachusetts.

A check in the amount of \$180.00 is enclosed to cover the filing fee. If the fee is insufficient, the balance may be charged to Deposit Account 23/2825. A duplicate of this sheet is enclosed.

Respectfully submitted,
Steven M. Blumenau et al., Applicant

By:

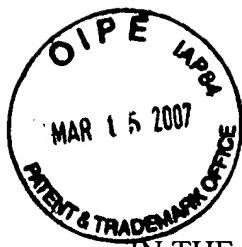

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600 Atlantic Avenue
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Docket No.: E0295.70155US00

Date: March 13, 2007

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Patricia L. Marchetti
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MAIL STOP AMENDMENT
Commissioner for Patents
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Alexandria, VA 22313-1450

STATEMENT FILED PURSUANT TO THE DUTY OF
DISCLOSURE UNDER 37 CFR §§1.56, 1.97 AND 1.98

Sir:

Pursuant to the duty of disclosure under 37 C.F.R. §§1.56, 1.97 and 1.98, the Applicant requests consideration of this Information Disclosure Statement.

PART I: Compliance with 37 C.F.R. §1.97

This Information Disclosure Statement has been filed more than three months after the filing date of this application and after the mailing date of the first Office Action, but before the 03/15/2007 RBLANCO 00000009 09748053 mailing date of either a final action under 37 C.F.R. §1.113 or a Notice of Allowance under 37 180.00 up C.F.R. §1.311, or an action that otherwise closes prosecution in this application.

The fee of \$180.00 as set forth in 37 C.F.R. §1.17(p) is enclosed.

PART II: Information Cited

The Applicant hereby makes of record in the above-identified application the information listed on the attached form PTO-1449 (modified PTO/SB/08). The order of presentation of the references should not be construed as an indication of the importance of the references.

| <u>Serial No.</u> | <u>Filing Date</u> | <u>Inventor(s)</u> | <u>Atty. Docket No.</u> |
|-------------------|--------------------|--------------------|-------------------------|
| 09/107,618 | 06/30/1998 | Blumenau et al. | E0295.70066US00 |
| 09/108,075 | 06/30/1998 | Blumenau | E0295.70067US00 |

The above-referenced applications were previously made of record in an IDS filed on April 16, 2001. The references cited in the attached PTO form 1449 are of record in those applications. The Examiner is invited to review the file histories of the above-referenced applications to see whether there is any information that the Examiner believes may be relevant, including ways in which any of these references may have been applied or interpreted. In this respect, it is assumed that the Examiner has access to each of those files. However, if the Examiner would like any information about any of those pending applications, Applicants would be happy to provide it.

PART III: Remarks

Documents cited anywhere in the Information Disclosure Statement are enclosed unless otherwise indicated. It is respectfully requested that:

1. The Examiner consider completely the cited information, along with any other information, in reaching a determination concerning the patentability of the present claims;
2. The enclosed form PTO-1449 be signed by the Examiner to evidence that the cited information has been fully considered by the Patent and Trademark Office during the examination of this application;
3. The citations for the information be printed on any patent which issues from this application.

By submitting this Information Disclosure Statement, the Applicant makes no representation that a search has been performed, of the extent of any search performed, or that more relevant information does not exist.

By submitting this Information Disclosure Statement, the Applicant makes no representation that the information cited in the Statement is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b).

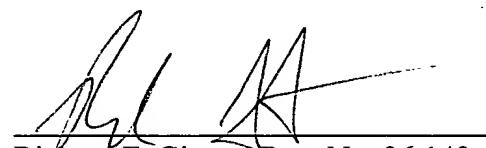
By submitting this Information Disclosure Statement, the Applicant makes no representation that the information cited in the Statement is, or is considered to be, in fact, prior art as defined by 35 U.S.C. §102.

Notwithstanding any statements by the Applicant, the Examiner is urged to form his own conclusion regarding the relevance of the cited information.

An early and favorable action is hereby requested.

Respectfully submitted,
Steven M. Blumenau et al., Applicant

By:


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600 Atlantic Avenue
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FORM PTO-1449/A and B (Modified)

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

Sheet

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of

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| | | | |
|------------------|---------------------------|-------------------|-------------------------|
| APPLICATION NO.: | 09/748,053 | ATTY. DOCKET NO.: | E0295.70155US00 |
| FILING DATE: | December 22, 2000 | CONFIRMATION NO.: | 4482 |
| APPLICANT: | Steven M. Blumenau et al. | | |
| GROUP ART UNIT: | 2134 | | EXAMINER: Ho, Thomas M. |

U.S. PATENT DOCUMENTS

| Examiner's Initials | Cite No. | U.S. Patent Document | | Name of Patentee or Applicant of Cited Document | Date of Publication or of issue of Cited Document MM-DD-YYYY |
|---------------------|----------|----------------------|-----------|---|---|
| | | Number | Kind Code | | |
| | A1 | 4,652,990 | B1 | Pailen et al. | 03-24-1987 |
| | A2 | 5,598,470 | B1 | Cooper et al. | 01-28-1997 |
| | A3 | 5,727,146 | B1 | Savoldi et al. | 03-10-1998 |
| | A4 | 5,852,715 | B1 | Raz et al. | 12-22-1998 |
| | A5 | 5,867,686 | B1 | Conner et al. | 02-02-1999 |
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| | A17 | 2002/0083339 | A1 | Blumenau et al. | 06-27-2002 |
| | A18 | 6,542,974 | B1 | Gagne et al. | 04-01-2003 |
| | A19 | 6,581,143 | B1 | Gagne et al. | 06-17-2003 |
| | A20 | 6,631,477 | B1 | LeCrone et al. | 10-07-2003 |
| | A21 | 6,687,718 | B1 | Gagne et al. | 02-03-2004 |
| | A22 | 6,718,352 | B1 | Dang et al. | 04-06-2004 |
| | A23 | 6,754,682 | B1 | LeCrone et al. | 06-22-2004 |

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|--|---|----|---|--------------------------------------|-----------------------------------|
| FORM PTO-1449/A and B (Modified) INFORMATION DISCLOSURE STATEMENT BY APPLICANT | | | | APPLICATION NO.: 09/748,053 | ATTY. DOCKET NO.: E0295.70155US00 |
| | | | | FILING DATE: December 22, 2000 | CONFIRMATION NO.: 4482 |
| | | | | APPLICANT: Steven M. Blumenau et al. | |
| Sheet | 2 | of | 2 | GROUP ART UNIT: 2134 | EXAMINER: Ho, Thomas M. |

FOREIGN PATENT DOCUMENTS

| Examiner's Initials | Cite No. | Foreign Patent Document | | | Name of Patentee or Applicant of Cited Document (not necessary) | Date of Publication of Cited Document MM-DD-YYYY | Translation (Y/N) |
|---------------------|----------|-------------------------|--------|--------------|--|---|-------------------|
| | | Office/ Country | Number | Kind Code | | | |
| B1 | JP | 1-106245 | A | | Nishikawa | 04-00-1989 | |
| B2 | JP | 2001014261 | A | | Saegusa | 01-00-2000 | Abstract |
| B3 | JP | 63-301336 | A | | Oda | 12-11-1988 | |
| B4 | JP | 8-84140 | A | | | 03-26-1996 | Abstract |
| B5 | JP | 10-333839 | A | | | 12-18-1998 | |
| B6 | JP | 11-73391 | A | | | 03-16-1999 | Abstract |
| B7 | EP | 0 456 920 | A2 | | IBM | 11-21-1991 | |
| B8 | WO | 02/08870 | A2 | | Dickenson | 01-31-2002 | |

OTHER ART — NON PATENT LITERATURE DOCUMENTS

| Examiner's Initials | Cite No | Include name of the author (in CAPITAL LETTERS) title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, relevant page(s), volume-issue number(s), publisher, city and/or country where published. | Translation (Y/N) |
|---------------------|---------|---|-------------------|
| | C1 | “Data Protection at the Volume Level”, IBM TDB NN8810146, October 1988, v31, iss. 5, pp. 146-148 | |

| | |
|-----------|------------------|
| EXAMINER: | DATE CONSIDERED: |
|-----------|------------------|

#EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

*a copy of this reference is not provided as it was previously cited by or submitted to the office in a prior application, Serial No. ___, filed ___, and relied upon for an earlier filing date under 35 U.S.C. 120 (continuation, continuation-in-part, and divisional applications).

[NOTE - The Office hereby waives the requirement under 37 CFR 1.98 (a)(2)(i) for submitting a copy of each cited U.S. patent and each U.S. patent application publication for all U.S. national patent applications filed after June 30, 2003 and for all international applications that have entered the national stage under 35 USC 371 after June 30, 2003. See 37 CFR 1.491(b). For all patent applications filed on or before June 30, 2003, copies of cited U.S. patents and patent application publications are still required unless an eIDS is filed. Copies of all other patent(s), publication(s), or other information listed must still be provided, even if it was previously submitted to, or cited by, the U.S. Patent Office in an earlier application, unless the earlier application is identified by the IDS and is relied upon for an earlier filing date under 35 U.S.C. §120, and the copy was provided in the earlier application.]